

## CHAPTER IX - PERSONNEL RECORDS AND REPORTS

The objective of maintaining adequate personnel records is to provide: (1) the documentation necessary to show that the legal, regulatory, and procedural requirements have been met in all personnel actions, (2) a basis for making decisions involved in personnel actions and for planning operations, and (3) a basis for reports on personnel activities.

### Program Elements

- a. Maintenance of accurate and necessary records.

#### Keys to Evaluation

1. Have the offices responsible for the maintenance and use of records been furnished the necessary instructions and equipment for doing an effective job?

#### Procedure for Evaluation

1. Review instructions and talk with those who maintain and use records to determine:
- a. Adequacy and clarity of instructions.
  - b. Availability of instructions and records handbooks, and use made of them.
  - c. Whether equipment in use facilitates the maintenance and use of records and whether mechanical or other labor-saving devices are used to reduce time and cost of maintenance or to improve the accuracy of records.

Keys to Evaluation

2. Does the records system meet the requirements of the Civil Service Commission and other staff and central agencies and are the records accurate?

3. Do personnel records meet the managerial needs of the agency?

Procedure for Evaluation

2. Review internal records instructions and a sample of the personnel records provided for in Civil Service Handbook S-812 and discuss uses with personnel officer and personnel clerks to determine that:

a. The system meets the requirements of the instructions mentioned above.

b. The records are accurate, complete and current.

3. Talk with operating, personnel and other staff officials to determine:

a. Whether records make accurate information readily available as a basis for:

(1) Making plans involving personnel activities.

(2) Making decisions on individual personnel actions.

(3) Effective first-line supervision and management of employees.

b. The ready availability of information needed to prepare necessary reports.

c. Success of the records system in meeting the requests for information of management offices in the legislative or executive branches.

- b. Elimination of duplicative and unnecessary records and reports for purposes of maximum economy and efficiency.

Keys to Evaluation

1. Does the organization review the personnel records being maintained and reports being prepared to weigh the value or necessity of each in relation to the requirements and in relation to each other?

2. Have unnecessary records and reports been eliminated?

Procedure for Evaluation

1. From information obtained from personnel or other management officials, determine the frequency and extent of such review.

2. a. From information obtained above, from a review of appropriate management reports, and from a review of existing records, also determine whether any unnecessary or duplicative reports or records exist and whether steps have been taken to consolidate or eliminate these records and reports.

(Consider in this regard what records are maintained by organizations outside the personnel office, what information these organizations need, and the most economical source from which their need can be met.)

Keys to Evaluation

Procedure for Evaluation

b. From information developed above, determine whether records and reports required by authorities outside the agency and by higher levels of the organization have been used to the maximum extent possible for internal management purposes. Also determine whether these records have been augmented to the minimum extent necessary in establishing a records and reports program which meets the needs of the establishment. Consider also the efforts made by the agency in recommending the modification or elimination of unnecessary or duplicative reports or records asked for or required by outside control or staff organizations.

- c. Periodic review of all records to insure their orderly disposal in accordance with appropriate records disposal schedule.
- d. Prompt transfer of records required by other agencies.

Keys to Evaluation

1. Is there a records disposal schedule that will meet the needs of the agency and the standards established by higher organizational levels and outside staff and control agencies?

2. Are records disposed of as provided by the schedule?

Procedure for Evaluation

1. Determine from information obtained from appropriate agency officials whether:

a. There has been a review conducted to identify all records as to their location, quantity, use, and age.

b. A records disposal schedule has been developed.

c. The records disposal schedule recognizes the requirements established by higher echelon and outside staff and control agencies.

2. Use information developed by evaluation procedure 1, above, to determine whether there are periodic reviews made of records and files for disposal as provided by the schedule. Also, review a sample of records to determine whether any have been retained past the schedule for their disposition.

3. Are the required records promptly transferred?

3. Review a representative sample of service records of separated or transferred employees to establish whether prompt action was taken to forward personnel records as required.

e. Issuing instructions for processing personnel transactions to prevent uneconomical channeling and duplicate determinations.

Keys to Evaluation

1. Have systematic procedures been developed for processing personnel transactions?

Have instructions concerning these procedures been made available to all levels of the organization concerned with processing personnel transactions?

3. Has all unnecessary handling and channeling of personnel actions been eliminated?

Procedure for Evaluation

1. Obtain information from appropriate personnel officials and review established procedures to determine the presence of complete, up-to-date procedures.

2. Review distribution of instructions on procedures to see that they have reached all who must use them. From information obtained from individuals responsible for processing personnel actions, determine currency, completeness, and usefulness of instructions that are available.

3. Review operations and/or flow charts and determine that all unnecessary steps have been eliminated.

- f. Telling employees which records are available for their inspection.

Keys to Evaluation

1. Are employees advised that they have the privilege of reviewing appropriate personnel records that relate to their own employment?

Procedure for Evaluation

1. Obtain information from appropriate personnel officials and from a review of publications, handbooks, and training materials determine that agency policy conforms with regulations and that facilities used in informing employees are adequate.
2. From a representative sample of employees, determine whether they understand that they may on request review certain agency personnel records.

- g. Preparation of necessary reports regarding personnel activities for internal management and for various branches of the government.

Keys to Evaluation

1. Are personnel reports regularly made to appropriate local officials including the head of the activity?

Procedure for Evaluation

1. Considering the level of the organization under review, discuss with personnel or other management officials the kind, number, and frequency of personnel management reports furnished.

Keys to Evaluation

2. Are personnel reports useful and meaningful for management purposes?

3. Are all levels of management consulted in planning a personnel reporting system?

4. Are personnel reports to higher organizational levels and to outside organizations made as required?

Procedure for Evaluation

2. With the consideration in evaluation procedure 1, above, review with personnel and other management officials the appropriateness of the content of reports, and their understanding and use of these reports.

3. Discuss with personnel and management officials the extent to which they participate in the planning of the personnel reporting system.

4. Review a representative sample of the reports to outside organizations or prepared for a higher internal level for transmittal to that organization to determine if content and timeliness are in accord with requirements.